

**U.S. SECURITIES AND EXCHANGE COMMISSION  
VACANCY ANNOUNCEMENT  
For a SENIOR OFFICER (SO) Position  
(SES Equivalent)  
ATTORNEY**

***\* Previous applicants under announcement 03-303-DC need not reapply and will automatically be considered. \****

<b>Ann No: 03-343-DC</b>	<b>Opening Date: December 16, 2003</b>	<b>Closing Date: December 22, 2003</b>
<b>POSITION TITLE</b>	<b>FULL PERFORMANCE LEVEL</b>	
Associate Regional Dir. (Enforcement)-Los Angeles	SO-905-Level 2 (\$138,459-\$198,600)	
Associate District Admin. (Enforcement)- Boston		

When applying, please indicate each city you'd like to be considered for: (Los Angeles and/or Boston)  
If applying for both locations, you must submit a separate application for each.

<b>PAY PLAN, SERIES, GRADE</b>	<b>This is a non-bargaining unit position</b>
SO-905-Level 1 (\$123,624-\$185,930)	
<b>NUMBER OF VACANCIES</b>	<b>WORK SCHEDULE</b>
Two	Full-Time
<b>AREA OF CONSIDERATION (U.S. Citizenship Required)</b>	<b>ORGANIZATION AND DUTY STATION</b>
ALL SOURCES	Los Angeles, California and Boston, Massachusetts

**FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE, PLEASE SEE: [www.sec.gov/jobs.shtml](http://www.sec.gov/jobs.shtml)**

**SUMMARY OF CRITICAL DUTIES:**

This posting is for two available Senior Officer (Enforcement) positions at the Commission. In Boston, this position has overall responsibility for the enforcement program of the Boston District Office. In Los Angeles, this position has shared overall responsibility (together with another Associate Regional Director) for the enforcement program of the Pacific Regional Office. The primary functions of these managerial positions include the following: (1) identifying and evaluating possible violations of the federal securities laws and determining whether an investigation is appropriate in light of agency policies and priorities; (2) overseeing the investigation of possible federal securities law violations by attorneys, accountants, and support staff; (3) determining what enforcement action, if any, is appropriate and what remedies should be sought, and making appropriate recommendations to the Commission for such action and remedies; (4) overseeing and establishing policy for all litigation by the Regional or District office in federal court and before administrative law judges; and (5) referring cases and providing assistance to the U.S. Department of Justice for criminal prosecution.

He/she has responsibility for managing resources, overseeing investigative strategies, prioritizing, meeting deadlines, approving prospective recommendations, reviewing Commission memoranda and court pleadings, and training of staff attorneys. He/she also personally manages and participates in certain significant and complex investigations and litigation and represents the Commission in dealings with the public and the news media. He/she performs the full range of supervisory duties including evaluating employee performance; making recommendations for appointment, promotion or reassignment; hearing and resolving complaints; identifying development training needs of employees; and other related supervisory tasks.

**QUALIFICATIONS REQUIRED:** You are required to meet the minimum qualification requirements below to be considered for this position. These requirements are in accordance with the U.S. Office of Personnel Management Qualification Standards Handbook.

1. You must have a J.D. and be a member of the bar (please indicate your J.D. and bar membership on your application); AND

2. You must have at least 52 weeks of specialized experience at the GS-15 or equivalent grade level (i.e. SK-16/17 at the SEC) **OR** equivalent level in the private sector **AND** significant **supervisory/managerial** experience that clearly demonstrates the knowledge, skills, and abilities required to perform the duties of this Senior Officer position.

Candidates who are currently SES at other Federal agencies AND have had competitive career status as a General Schedule or equivalent Federal employee, may apply for reassignment.

## **Senior Officer “SO” Core Qualifications:**

If you meet the requirements described above, a panel of three executives will review and rate your application on the four “Senior Officer Core Qualifications” identified below.

Please address each of the four Senior Officer Core Qualifications below, **in writing AND on separate sheets of paper**, clearly describing **and** giving examples that describe the extent of your experience. If your application does not show experience in each category, you may be determined ineligible or receive a low rating.

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### **I. MANDATORY TECHNICAL EXPERIENCE:**

Mandatory Technical Ranking Factors are used to ascertain the extent of your knowledge, skills, and abilities as they relate to the specialized experience of the position.

Provide examples that illustrate:

1. Substantial knowledge and understanding of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Company Act of 1940, and/or the Investment Advisers Act of 1940.
  2. Substantial knowledge of and experience in the conduct of complex investigations.
  3. Substantial knowledge of and experience in all aspects of securities litigation as they relate to civil and/or criminal actions and/or administrative proceedings.
  4. Ability to analyze complex legal problems and devise innovative solutions which may have precedent-setting impact.
  5. Understanding of the structure and operation of the securities markets, and of the economic and competitive relationships between and among participants in the securities markets.
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### **II. MANDATORY MANAGEMENT EXPERIENCE:**

Experience designing and implementing strategies which maximize employee potential and foster high ethical standards in meeting the organization’s vision, mission and goals. This includes the ability to provide leadership to inspire, motivate, and guide others toward goal accomplishment; promoting quality through effective use of the organization’s performance management system; and fostering commitment, team spirit, pride and trust to help the organization meet its organizational and strategic goals.

### **III. LEADING CHANGE/ACHIEVING RESULTS:**

Experience developing and implementing an organizational vision, which integrates key national and program goals, priorities, values, and other factors of that organization. Applicant must give an example of a major program change or project they led, which identifies how they exercised sound leadership and motivated managers and employees to incorporate vision, strategic planning, and elements of quality management into achieving **results and change** for the organization.

Examples given **MUST** stress **accountability and continuous improvement**. This includes dealing effectively with pressure, being open to change and new information, identifying and integrating key issues affecting the organization (including political, economic, social, technological, and administrative factors), setting program standards to promote customer service and/or the quality of the program and holding self and others accountable for achieving these standards.

Example must illustrate how applicants went from point “A” (problem to solve) to point “B” (end result/change for the organization).

### **IV. BUILDING COALITIONS/COMMUNICATION:**

The ability to explain, advocate, and express facts and ideas (both orally and in writing) in a convincing manner, and negotiate with individuals and groups both internally and externally. Incumbents must be experienced in representing and speaking for the organizational unit and its work (through speeches, presentations, negotiations, etc.) to those within and outside the office. This factor involves the ability to develop an expansive professional network with other organizations and to identify the internal and external issues that impact the work of the organization.

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## EVALUATION OF CANDIDATES

If you are a displaced employee, you must attach to the front of your application proof of eligibility, such as a SF-50. If you are a displaced Federal employee separated within the local commuting area of the position, your application will be reviewed to determine minimum qualification requirements and, if you are found minimally qualified, then your application will be rated to determine whether you meet the well-qualified criteria that have been established for the above position. A well-qualified displaced candidate will be referred before any other qualified candidates inside and outside of Federal service. All other applications will also be evaluated against the qualifications required for the position and evaluated by a panel of subject matter experts based on the information in your application. If you do not address the Senior Office Core Qualifications to clearly describe the extent of your experience, you may be determined ineligible or receive a low rating.

Candidates **with** current civil service status or with reinstatement eligibility who meet the Minimum Qualifications Required will be rated on the basis of relevant experience, education, training, supervisory appraisal, job-related awards, and the Senior Officer Core Qualifications in accordance with the SEC Merit Promotion Plan.

*Veterans who have been separated from the armed forces under honorable conditions after 3 years or more of continuous active service may apply.* Disabled veterans, individuals with disabilities, and veterans eligible for special OPM appointing authorities are also strongly encouraged to apply. Veterans applying under an OPM special appointing authority must state this at the beginning of their job application.

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## HOW TO APPLY

Candidates **MUST** submit:

1. A resumé; the Optional Application for Federal Employment; or any other written format of your choice which clearly identifies: 1) The announcement number, title, series, and grade of the job you applied for and 2) Information required in the OPM pamphlet "Applying for a Federal job". Please be sure to provide your current position title, series, grade and step and date of your last within grade increase or promotion.
2. Separate sheet(s) which clearly address each of the **Senior Officer Core Qualifications**.
3. Your most recent federal performance appraisal if you are a current federal employee.
4. Copy of SF-50, Notification of Personnel Action, to verify Federal competitive civil service status or reinstatement eligibility. DO NOT submit copies of SF-50's for awards unless they show your current series and grade.
5. Proof of active military service and honorable discharge if applying under the Veteran's Employment Opportunities Act.
6. Background Survey Questionnaire (optional).

**If you do not provide all the information requested, you may lose consideration for this position.**

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## FILING APPLICATIONS

Applications should be postmarked and mailed to U.S. Securities and Exchange Commission, Office of Administrative and Personnel Management, 6432 General Green Way, Alexandria, VA 22312, and received in OAPM no later than the vacancy announcement closing date. Hand delivered applications from within headquarters must be personally accepted and date stamped in OAPM, Mini Personnel Office, Room 1120, Mail Stop 1-3 on or before the vacancy announcement closing date.

Applications received in postage-paid Government envelopes will not be considered and are a violation of Federal law and regulation. In accordance with agency policy, SEC will only accept FAX applications if there is evidence that they were not sent from Federal Government FAX machines. Other application materials (i.e., SF-50, Notification of Personnel Action, performance appraisal, etc) must be faxed within the prescribed deadline. Applicants are reminded of legal prohibition against the use of Government envelopes or other property for other than officially approved activities.

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## WHERE TO FILE

**U. S. Securities and Exchange Commission,  
OAPM (Mail Stop 0-1)  
6432 General Green Way, Alexandria, VA 22312  
Attn: Derek Childress  
FAX - (703) 914-0556**

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#### ADDITIONAL INFORMATION

Moving expenses WILL be paid for this position.

The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.

**EQUAL EMPLOYMENT OPPORTUNITY:** All candidates will be considered without regard to any non-merit reason such as race, color, sex, age, religion, sexual orientation, national origin, or disability status.

**REASONABLE ACCOMMODATION:** The SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency's Disabilities Coordinator, OAPM. The decision on granting reasonable accommodation will be on a case-by-case basis.